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UNITED STATES PATENT AND TRADEMARK OFFICE
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/921,276	08/01/2001	Richard Cerami	020366-077510US

CONFIRMATION NO. 5360

20350
TOWNSEND AND TOWNSEND AND CREW
TWO EMBARCADERO CENTER
EIGHTH FLOOR
SAN FRANCISCO, CA 94111-3834

FORMALITIES LETTER



OC000000006536579

Date Mailed: 09/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

*A copy of this notice **MUST** be returned with the reply.*

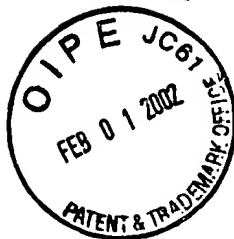
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12-15-2001 10:00:00 AM 09/10/2001 10:00:00 AM

12-15-2001 10:00:00 AM 09/10/2001 10:00:00 AM

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and
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San Francisco

Two Embarcadero Center
8th Floor
San Francisco
California 94111-3834
Tel 415 576-0200
Fax 415 576-0300

Direct: 415-273-7512
bnyoung@townsend.com

September 26, 2001

VIA FEDEX

Richard S. Cerami
1475 Lawrence Street, #400
Denver, CO 80202

Timothy Figueroa
15231 East Hialeah Place
Aurora, CO 80015

Roxanna Storaasli
1475 Lawrence Street, 4th Floor
Denver, CO 80202

Re: US Patent Application No. 09/921,276
For: FAULT MANAGEMENT IN A VDSL NETWORK
Inventors: Richard S. Cerami, Timothy Figueroa, Roxanna Storaasli
Filed: August 1, 2001
Our File No.: 020366-077510US

Dear Sirs/Madam:

Enclosed with each letter to the above-referenced inventors is a copy of the subject patent application as filed with the U.S. Patent and Trademark Office on August 1, 2001. All information concerning this application should be kept confidential.

Because this application was filed without a signed Declaration, it is now required that we file the following executed documents with the U.S. Patent Office to complete the filing formalities.

- (1) Declaration to be signed and dated by each inventor.
- (2) Assignment to also be signed and dated by each inventor. Please note that the Assignment should be signed before a notary. On the first page of the Assignment, include the date the Declaration is/was executed.

Once the above documents have been executed, please return all of them to us so that we can file them with the U.S. Patent and Trademark Office. The deadline for filing the formal documents with the USPTO is **November 10, 2001**.

REMINDER sent 11/02/01

If you have any questions about the completion of these documents, please do not hesitate to contact me at the above telephone number or email address.

Very truly yours,

A handwritten signature in black ink, appearing to read "BNY", with a long, sweeping horizontal line extending to the right.

Brian N. Young

BNY/l
Enclosures (3)
SF 1273994 v1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL
for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1440

Complete if Known

Application Number	09/921,276
Filing Date	August 1, 2001
First Named Inventor	Cerami, Richard
Examiner Name	Unassigned
Group Art Unit	2171
Attorney Docket No.	020366-077510US

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

20-1430

Deposit
Account
Name

Townsend and Townsend and Crew LLP

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR 1.16 and 1.17
-
- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$740)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
17 -20** = 0	X	\$18	\$0
Independent Claims 1 -3** = 0	X	\$84	\$0
Multiple Dependent	X		

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	400
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	130
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

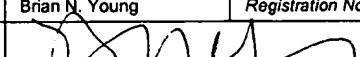
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$700)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Brian N. Young	Registration No. (Attorney/Agent)	48,602	Telephone	415-576-0200
Signature				Date	January 10, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. SF 1307010 v1

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

Use for all correspondence after initial filing)

Application Number	09/921,276
Filing Date	August 1, 2001
First Named Inventor	Cerami, Richard
Group Art Unit	2171
Examiner Name	Unassigned
Attorney Docket Number	020366-077510US

**COPY OF PAPERS
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Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☒ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☒ Response to Missing Parts/
Incomplete Application

☒ Response to Missing
Parts under 37 CFR
1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69)
and Accompanying Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)
(please identify below):

Return Postcard, Petition under CFR
1.47(a), Declaration of Chad S. Hilyard,
Declaration of Brian N. Young

Remarks

The Commissioner is authorized to charge any additional fees to
Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
and
Individual name

Townsend and Townsend and Crew LLP

Brian N. Young

Reg. No. 48,602

Signature

Date

January 10, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

January 10, 2002

Typed or printed name

Don Mixon

Signature

Date

January 10, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1307012 v1

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT
Attorney Docket No.: 020366-077510US

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

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On January 10, 2002

TOWNSEND and TOWNSEND and CREW LLP

By: Don Mixon
Doñ Mixon

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Richard Cerami, et al.

Application No.: 09/921,276

Filed: August 1, 2001

For: FAULT MANAGEMENT IN A
VDSL NETWORK

Examiner: Unassigned

Art Unit: 2171

TRANSMITTAL LETTER – RESPONSE
TO NOTICE OF MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

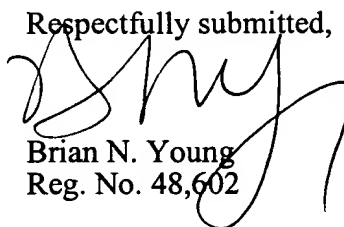
Sir:

Applicant submits this response pursuant to the Notice to File Missing Parts of Nonprovisional Application dated September 10, 2001 in the above-captioned application. An extension for reply within the two months is requested thereby extending the date to respond to and including January 10, 2002. Enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration
- 2) Copy of Notice of Missing Parts
- 3) Assignment Document
- 4) Petition for Extension of time (2 months)
- 5) Petition under CFR § 1.47(A)
- 6) Declaration of Chad S. Hilyard
- 7) Declaration of Brian N. Young

Please charge the fees as set forth on attached Form PTO/SB/17 and any additional fees under 37 CFR 1.16 or 1.17 associated with this paper or otherwise required during the pendency of this application, and credit any overpayment to the Deposit Account No. 20-1430 of the undersigned.

Respectfully submitted,



Brian N. Young
Reg. No. 48,602

Customer No. 20350

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 415-576-0200
Fax: 415 576-0300
BNY/dxm

SF 1307001 v1